

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

Organisation Name:	Certificate Reference:
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### Purpose

This Assessment Tool has been developed by BCAA to be used for initial assessment or ongoing surveillance and oversight of an organisation's Safety Management System (SMS).

### Objectives

Confirm minimum components of a Safety Management System are in place prior to the issuance of approvals.

Support continuous improvement in the Safety Management System of all organisations under the BCAA's authority.

### Source

Though the BCAA regulatory framework for SMS is contained in the applicable OTARs and OTACs, the framework of the assessment tool follows that established in ICAO Annex 19 and is comprised of four components and twelve elements for SMS. Organisations may align these elements in any order or manner they choose.

### Use

The BCAA may request the regulated organisation to complete the document review portion of the tool as a self-assessment when making application or prior to an onsite visit. It is expected that all elements of the SMS are present and suitable (to the size and complexity of the operation) for an initial assessment.

Assessing SMS is a move from traditional, compliance-based oversight to performance-based oversight that focuses on how the SMS is performing. Acceptance of an organisation's SMS is not a simple pass/fail but instead should be used to help evaluate the maturity of the SMS as a benchmark against other organisations and to aid continuous improvement.

## **Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool**

In completing document reviews, the “yes / no / question” is utilized to determine when the element is documented (procedures in writing).

- Yes – indicates the documentation includes the element (present) and it has been assessed as suitable based upon the size and complexity of the organisation
- No – the documentation does not include the element
- Question – the documentation is present, but the suitability of the element is in question

The onsite validation is intended to determine the functionality of the element.

- Operating
  - Yes / No - the organisation is following its own documentation
  - Not Checked – is utilized when there is no opportunity to interview or examine records
- Effective
  - Yes / No - the results appear to be adding value to the program
  - Not Checked – is utilized when there is no opportunity to interview or examine records

In order to give the organisation an overall picture of its SMS performance, an evaluation summary will be completed for each component. The evaluation summary, observation forms, or findings forms will be utilized to encourage continuous improvement.

BCAA forms for observations and findings will be utilized as required.

- Observations will be raised when the assessor recognizes an area of excellence or potential area/element for improvement.
- Findings will be raised if there is substantive proof of an absence or failure of whole elements.

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 1 - SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

#### Element 1.1 - MANAGEMENT COMMITMENT (Annex 19 element 1.1)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
1.1.1	<p>There is a safety policy signed by the accountable executive / manager which should include:</p> <ul style="list-style-type: none"> <li>a) commitment to observe all applicable legal requirements, standards and best practice</li> <li>b) commitment towards achieving the highest safety standards</li> <li>c) actively encourages safety reporting</li> <li>d) commitment to continuous improvement in the safety level</li> <li>e) statement to provide appropriate resources and the organisation is managing resources by anticipating and addressing any shortfalls</li> </ul>			
1.1.2	<p>A process for identifying relevant changes to</p> <ul style="list-style-type: none"> <li>a) Regulations</li> <li>b) State Safety Program</li> </ul>			
1.1.3	<p>A process for reviewing the safety policy on a regular basis</p>			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
1.1.4	A just culture policy (non-disciplinary) with principles that clearly identify acceptable and unacceptable behaviours to promote a just culture.			
1.1.5	The organisation has based its safety management system on the safety policy.			

### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
1.1.6	The Accountable Executive / Manager and the senior management team promote and demonstrate their commitment to the Safety Policy through active and visible participation in the safety management system.			
1.1.7	There is commitment of the organisation's senior management to the development and ongoing improvement of the safety management system.			
1.1.8	There is evidence of decision making, actions and behaviours that reflect a positive safety culture.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 1 - SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

#### Element 1.2 - SAFETY ACCOUNTABILITY AND RESPONSIBILITIES (Annex 19 element 1.2)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
1.2.1	An Accountable Executive / Manager has been appointed with a) full responsibility and ultimate accountability for the SMS to ensure it is properly implemented and performing effectively b) control of the financial and human resources required for the proper implementation of an effective SMS.			
1.2.2	Safety accountabilities, authorities and responsibilities are defined and documented throughout the organisation via some combination of: <ul style="list-style-type: none"> <li>- Job descriptions</li> <li>- Organisation charts</li> <li>- Safety Policy</li> <li>- Manual section</li> </ul>			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
1.2.3	The Accountable Executive / Manager is aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation.			
1.2.4	Personnel at all levels are aware of and understand their safety accountabilities, authorities and responsibilities regarding all safety management processes, decisions and actions.			
1.2.5	Safety management is shared across the organisation (and is not just the responsibility of the Safety Manager and their team).			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 1 - SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

#### Element 1.3 - APPOINTMENT OF KEY PERSONNEL (Annex 19 element 1.3)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
1.3.1	A competent person with the appropriate knowledge, skills and experience has been nominated to manage the operation of the SMS.			
1.3.2	There is a direct reporting line between the person managing the SMS and the Accountable Executive / Manager.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
1.3.3	The person managing the operation of the SMS fulfils the required job functions and responsibilities.			
1.3.4	The organisation has allocated sufficient resources to manage the SMS including manpower for safety investigation, analysis, auditing and promotion.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
1.3.5	The organisation has established appropriate safety committee(s) that discuss and address safety risks and compliance issues.			



## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 1 - SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

#### Element 1.4 - CO-ORDINATION OF EMERGENCY RESPONSE PLANNING (Annex 19 element 1.4)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
1.4.1	An emergency response plan (ERP) that reflects the size, nature and complexity of the operation containing a) procedures and actions, b) the roles and responsibilities of key personnel including external agencies			
1.4.2	The organisation has a process to a) distribute the ERP procedures as appropriate b) communicate the content to all personnel			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
1.4.3	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.			
1.4.4	Key personnel in an emergency have access to the ERP at all times.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 1 - SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

#### Element 1.5 - SMS DOCUMENTATION (Annex 19 element 1.5)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
1.5.1	The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes.			
1.5.2	The SMS documentation includes a process for the amendment and control of all documents and related records.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
1.5.3	SMS documentation is regularly reviewed and updated with appropriate version control in place.			
1.5.4	SMS documentation is available to all personnel.			

## **Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool**

### SUMMARY - Section 1 - SAFETY POLICIES AND OBJECTIVES

Description	Observation	Finding

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 2 - SAFETY RISK MANAGEMENT (Annex 19 component 2)

#### Element 2.1 - HAZARD IDENTIFICATION (Annex 19 element 2.1)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
2.1.1	There is a process that defines how hazards are identified and recorded from multiple sources through reactive and proactive methods.			
2.1.2	The reporting system has a process to provide feedback.			
2.1.3	There is a process in place to analyse safety data and safety information.			
2.1.4	There is a process for investigation to ensure that multiple aspects, including human factors, are considered.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
2.1.5	Personnel conducting investigations have had training.			
2.1.6	Safety reports and investigations are conducted in a timely manner.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
2.1.7	Records indicate that Safety Investigations identify multiple causes/hazards (including Human Factors).			
2.1.8	Personnel have access to the reporting system, understand and are confident of it.			
2.1.9	Safety data is being examined and analyzed for the purpose of identifying hazards.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 2 - SAFETY RISK MANAGEMENT (Annex 19 component 2)

### Element 2.2 - SAFETY RISK ASSESSMENT AND MITIGATION (Annex 19 element 2.2)

#### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
2.2.1	There is a structured process for the management of risk that includes the assessment of risk associated with identified hazards, expressed in terms of severity and probability.			
2.2.2	There are criteria for evaluating the level of risk the organisation is willing to accept.			
2.2.3	There is a process to notify Senior Management of hazards that are assessed as high.			
2.2.4	The organisation has a risk control strategies process (that may include as options hazard elimination, risk avoidance, risk mitigation, or risk acceptance).			

#### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
2.2.5	There are records that justify the risk assessments that were conducted.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
2.2.6	Mitigating actions resulting from the risk assessment, including timelines and allocation of responsibilities are recorded.			
2.2.7	The effectiveness of controls that were implemented is recorded.			
2.2.8	There are records to confirm that Senior Management was notified of hazards assessed high.			

### SUMMARY - Section 2 - SAFETY RISK MANAGEMENT

Description	Observation	Finding

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 3 - SAFETY ASSURANCE (Annex 19 component 3)

#### Element 3.1 - SAFETY PERFORMANCE MONITORING AND MEASUREMENT (Annex 19 element 3.1)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
3.1.1	The organisation has an internal audit programme and procedures for audits, reporting, and records.			
3.1.2	The interface between internal audits and the safety risk management processes is described.			
3.1.3	There is a process in place to assess whether the risk controls are applied and effective.			
3.1.4	There is a process in place to set and review organisational Safety Objectives; the process includes Safety Performance Indicators (SPIs) that are tracked to measure effectiveness.			

##### Onsite Validation



## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
3.1.5	The organisation is conducting audits and maintaining records of the audits and follow-up actions.			
3.1.6	The organisation is regularly assessing the effectiveness of risk controls.			
3.1.7	The organisation has set Safety Objectives with Safety Performance Indicators and is monitoring them.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 3 - SAFETY ASSURANCE (Annex 19 component 3)

#### Element 3.2 - THE MANAGEMENT OF CHANGE (Annex 19 element 3.2)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
3.2.1	The organisation has established a change management process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes. (This includes at minimum major operational changes, major organisational changes and changes in key personnel.)			
3.2.2	The change management process contains a requirement to consider Human Factor (HF) issues.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
3.2.3	The Change Management Process has been utilized when required and Human Factors was considered.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 3 - SAFETY ASSURANCE (Annex 19 component 3)

#### Element 3.3 - CONTINUOUS IMPROVEMENT OF THE SMS (Annex 19 element 3.3)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
3.3.1	There is a process in place to regularly monitor and review the effectiveness of the SMS using the available data and information.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
3.3.2	The review process has been utilized and changes have been incorporated.			

#### SUMMARY - Section 3 - SAFETY ASSURANCE

Description	Observation	Finding

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 4 - SAFETY PROMOTION (Annex 19 component 4)

#### Element 4.1 - TRAINING AND EDUCATION (Annex 19 element 4.1)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
4.1.1	There is an initial and recurrent training programme specific to the SMS roles and responsibilities of the individual personnel.			
4.1.2	There is an initial and recurrent training program on human and organisational factors.			
4.1.3	A competency framework is defined for all personnel, including trainers and a process for tracking all training.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
4.1.4	The training program is specific to the organisation's SMS.			
4.1.5	Human and organisational factors training is being conducted.			
4.1.6	Records of required training is on file.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
4.1.7	Personnel have knowledge of Human Factors, the organisation's Safety Policies, Safety Reporting and their responsibilities.			

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Section 4 - SAFETY PROMOTION (Annex 19 component 4)

#### Element 4.2 - SAFETY COMMUNICATION (Annex 19 element 4.2)

##### Document Review

#	Description	Organisation document and section reference	Notes	Present Y / N / Q <small>Yes No Question</small>
4.2.1	There is a process to determine and communicate safety critical information.			

##### Onsite Validation

#	Description	Evidence (based upon records and interviews conducted on site)	Operating Y / N / NC <small>Yes No Not Checked</small>	Effective Y / N / NC <small>Yes No Not Checked</small>
4.2.2	Safety critical information has been identified and communicated.			
4.2.3	Personnel have knowledge of the organisation's safety communications.			

##### SUMMARY - Section 4 - SAFETY PROMOTION

Description	Observation	Finding

## Bermuda Civil Aviation Authority (BCAA) SMS Assessment Tool

### Assessment Summary:

Description
Overview:
Strengths:
Areas for Improvement:

Evaluator (Name)	
Date(s) of Evaluation	
Document name and version reviewed	